

US 10/572,886
Atty. Dkt. No.: 8325-0038
Client Dkt. No.: S38-US1

PATENT

CERTIFICATE OF MAILING PURSUANT TO 37 CFR § 1.8

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8/1/07
Date

Michelle Hobson
Signature

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Application of:

MOORE et al.

Serial No.: 10/572,886

Filing Date: October 3, 2006

Title: ENGINEERED ZINC FINGER PROTEINS
FOR REGULATION OF GENE
EXPRESSION

Examiner:

Group Art Unit: 1653

Confirmation No.: 3343

Customer No.: 20855

INFORMATION DISCLOSURE STATEMENT TRANSMITTAL

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Enclosed is an Information Disclosure Statement and accompanying Form PTO/SB/08A for the above-identified patent application.

- ☒ [X] In accordance with 37 C.F.R. §1.97(b), no additional fee for submission of the IDS is required.
- ☐ [] In accordance with 37 C.F.R. §1.97(c), also enclosed is:
- ☐ [] the fee of \$180.00 as set forth in 37 C.F.R. §1.17(p); or
- ☐ [] a statement as specified in 37 C.F.R. §1.97(e).
- ☐ [] In accordance with 37 C.F.R. §1.97(d), a statement as specified in 37 C.F.R. § 1.97(e) and the fee of \$180.00 as set forth in 37 C.F.R. §1.17(p) are also enclosed.
- ☐ [] Check No. _____ in the amount of _____ for the total fee is attached.


☒ [X] A return receipt postcard is also enclosed.

☐ [] Please charge \$_____ to Deposit Account No. 18-1648 for the total fee.
This paper is being submitted in duplicate.

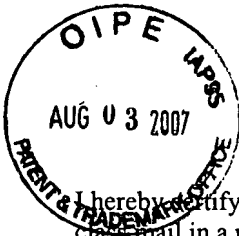
The Commissioner is hereby authorized to charge any appropriate fees under 37 C.F.R. §§1.16, 1.17, and 1.21 that may be required by this paper, and to credit any overpayment, to Deposit Account No. 18-1648.

Respectfully submitted,

Date: August 1, 2007

By: 
Dahna S. Pasternak
Registration No. 41,411

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**INFORMATION DISCLOSURE STATEMENT
UNDER 37 C.F.R. §1.97(b)**

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Dear Sirs:

In accordance with the duty of disclosure set forth in 37 C.F.R. §1.56,
Applicant(s) hereby submits the following information in conformance with 37 C.F.R.
§§1.97 and 1.98.

- ☒ Pursuant to 37 C.F.R. §1.98, copies of publications B1-B31 and C1-C265, cited in the attached Form PTO/SB/08 are enclosed.
- ☒ No copy of the U.S. publications A1-A40, listed on the attached Form PTO/SB/08A are being provided because the Office waives the requirement under 37 C.F.R. 1.98 (a) (2) (i) for submitting a copy of each cited U.S. patent and each U. S. patent application publication for all U.S. national patent applications filed after June 30, 2003
- ☐ No copies of the publications listed on the attached Form PTO/SB/08A are being provided pursuant to 37 C.F.R. §1.98(d) because the publications

were previously cited by or submitted to the Office in prior Application Serial No. _____ to which the above-identified application claims priority under 35 U.S.C. §120.

- ☐ Publications _____ listed on the attached Form PTO/SB/08A were cited in a foreign search or examination report corresponding to PCT application serial no. _____ and mailed on _____.
- ☐ Enclosed is a copy of a non-English publication(s) _____. Pursuant to §609 of the M.P.E.P., Applicant submits the attached foreign search or examination report, which cites such non-English language publication(s).
- ☐ Enclosed is a copy of a non-English publication(s) _____. English language publication ____ (copy enclosed) claims priority from this non-English publication.
- ☐ Enclosed is an explanation of non-English publication(s) _____ for which an English translation is not available.
- ☐ Enclosed is an English translation of non-English publication(s) _____ cited in the attached Form PTO/SB/08A.
- ☐ Enclosed is a copy of pending patent Application Serial No. _____.

This Information Disclosure Statement is filed within any one of the following time periods:


- ☐ within three months from the filing date of this national application other than a CPA under 37 C.F.R. § 1.53(d);
- ☐ within three months from the date of entry of the national stage as set forth in 37 C.F.R. §1.491 in this international application;
- ☒ before the mailing date of a first office action on the merits; or
- ☐ before the mailing of a first office action after the filing of a request for continued examination under 37 C.F.R. §1.114.

This Information Disclosure Statement under 37 CFR § 1.97 is not to be construed as a representation that: (i) a complete search has been made; (ii) additional information material to the examination of this application does not exist; (iii) the information, protocols, results and the like reported by third parties are accurate or enabling; or (iv) the above information constitutes prior art to the subject invention.

It is respectfully requested that the Examiner consider the above-noted information and return an initialed copy of the attached Form PTO/SB/08A to the undersigned.

Respectfully submitted,

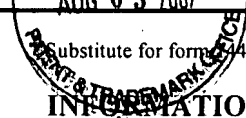
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PTO/SB/08A (08-00)

 <p>Substitute for form 349A/PTO</p> <p>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</p> <p><i>(use as many sheets as necessary)</i></p>				<p>Complete if Known</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;">Application Number</td> <td>10/572,886</td> </tr> <tr> <td>Filing Date</td> <td>October 3, 2006</td> </tr> <tr> <td>First Named Inventor</td> <td>MOORE et al.</td> </tr> <tr> <td>Group Art Unit</td> <td>1653</td> </tr> <tr> <td>Examiner Name</td> <td></td> </tr> </table>		Application Number	10/572,886	Filing Date	October 3, 2006	First Named Inventor	MOORE et al.	Group Art Unit	1653	Examiner Name	
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Sheet	1	of	25	Attorney Docket Number	8325-0038 (S38-US1)										

U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. ¹	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY
		Number	Kind Code ² (if known)		
	A1	4,186,183		Steck et al.	01-29-1980
	A2	4,217,344		Vanlerberghe et al.	08-12-1980
	A3	4,235,871		Papahadjopolous et al.	11-25-1980
	A4	4,261,975		Fullerton et al.	04-14-1981
	A5	4,485,054		Mezei et al.	11-27-1984
	A6	4,501,728		Geho et al.	02-26-1985
	A7	4,603,044		Geho et al.	07-29-1986
	A8	4,774,085		Fidler	09-27-1988
	A9	4,797,368		Carter et al.	01-10-1989
	A10	4,837,028		Allen	06-06-1989
	A11	4,897,355		Eppstein et al.	01-30-1990
	A12	4,946,787		Eppstein et al.	08-07-1990
	A13	4,957,773		Spencer et al.	09-18-1990
	A14	5,049,386		Eppstein et al.	09-17-1991
	A15	5,173,414		Lebkowski et al.	12-22-1992
	A16	5,176,996		Hogan et al.	01-05-1993
	A17	5,272,071		Chappel	12-21-1993
	A18	5,356,802		Chandrasegaran	10-18-1994
	A19	5,364,791		Vegeto et al.	11-15-1994
	A20	5,422,251		Fresco	06-06-1995
	A21	5,436,150		Chandrasegaran	07-25-1995
	A22	5,487,994		Chandrasegaran	01-30-1996
	A23	5,585,245		Nils et al.	12-17-1996
	A24	5,789,538		Rebar et al.	08-04-1998
	A25	5,792,640		Chandrasegaran	08-11-1998
	A26	5,834,266		Crabtree et al.	11-10-1998
	A27	5,874,534		Vegeto et al.	02-23-1999
	A28	5,916,794		Chandrasegaran	06-29-1999
	A29	5,925,523		Dove et al.	07-20-1999
	A30	5,935,934		Vegeto et al.	08-10-1999
	A31	5,994,313		Crabtree et al.	11-30-1999
	A32	6,007,988		Choo et al.	12-28-1999
	A33	6,013,453		Choo et al.	01-11-2000
	A34	6,140,081		Barbas	10-31-2000
	A35	6,200,759	B1	Dove et al.	03-13-2001
	A36	6,265,196	B1	Chandrasegaran	07-24-2001
	A37	6,270,990	B1	Anderson et al.	08-07-2001
	A38	6,453,242	B1	Eisenberg et al.	09-17-2002
	A39	6,534,261	B1	Cox et al.	03-18-2003
	A40	6,607,882	B1	Cox et al.	08-19-2003

Examiner Signature		Date Considered	
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¹ Unique citation designation number.

² See attached Kinds of U.S. Patent Documents.

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PTO/SB/08A (08-00)

Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(use as many sheets as necessary)</i>				Complete if Known	
				Application Number	10/572,886
				Filing Date	October 3, 2006
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				Group Art Unit	1653
				Examiner Name	
Sheet	3	of	25	Attorney Docket Number	8325-0038 (S38-US1)

OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS				
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ¹	
	C1	Ahmad et al., "ANTIBODY-MEDIATED SPECIFIC BINDING AND CYTOTOXICITY OF LIPOSOME-ENTRAPPED DOXORUBICIN TO LUNG CANCER CELLS IN VITRO," Cancer Res 52(17):4817-4820 (1992)		
	C2	Ahn et al., "THREONINE 68 PHOSPHORYLATION BY ATAXIA TELANGIECTASIA MUTATED IS REQUIRED FOR EFFICIENT ACTIVATION OF CHK2 IN RESPONSE TO IONIZING RADIATION," Cancer Res 60:5934-5936 (2000)		
	C3	Altincicek et al., "INTERACTION OF THE COREPRESSOR ALIEN WITH DAX-1 IS ABROGATED BY MUTATIONS OF DAX-1 INVOLVED IN ADRENAL HYPOPLASIA CONGENITAL," J. Biol. Chem. 275(11):7662-7667 (2000)		
	C4	Alvarez et al. "A PHASE I STUDY OF RECOMBINANT ADENOVIRUS VECTOR-MEDIATED INTRAPERITONEAL DELIVERY OF HERPES SIMPLEX VIRUS THYMIDINE KINASE (HSV-TK) GENE AND INTRAVENOUS GANCICLOVIR FOR PREVIOUSLY TREATED OVARIAN AND EXTRAOVARIAN CANCER PATIENTS," Hum. Gene Ther. 8(5):597-613 (1997)		
	C5	Anderson, "HUMAN GENE THERAPY," Science 256(5058):808-813 (1992)		
	C6	Arora et al., "RESIDUES 1-254 OF ANTHRAX TOXIN LETHAL FACTOR ARE SUFFICIENT TO CAUSE CELLULAR UPTAKE OF FUSED POLYPEPTIDES," J. Biol. Chem. 268(5):3334-3341 (1993)		
	C7	Aso et al., "TRANSCRIPTION SYNDROMES AND THE ROLE OF RNA POLYMERASE II GENERAL TRANSCRIPTION FACTORS IN HUMAN DISEASE," J. Clin. Invest. 97:1561-1569 (1996)		
	C8	Ayer et al., "MAD PROTEINS CONTAIN A DOMINANT TRANSCRIPTION REPRESSION DOMAIN," Mol. Cell. Biol. 16(10):5772-5781 (1996)		
	C9	Ballard et al., "THE 65-KDA SUBUNIT OF HUMAN NF- κ B FUNCTIONS AS A POTENT TRANSCRIPTIONAL ACTIVATOR AND A TARGET FOR V-REL-MEDIATED REPRESSION," PNAS USA 89:1875-1879 (1992)		
	C10	Barahmand-Pour et al., "A ROLE FOR STAT FAMILY TRANSCRIPTION FACTORS IN MYELOID DIFFERENTIATION," Curr Top Microbiol Immunol 211:121-128 (1996)		
	C11	Barnes & Adcock "TRANSCRIPTION FACTORS," Clin Exp Allergy 2:46-49 (1995)		
	C12	Bartek et al., "CHK2 KINASE – A BUSY MESSENGER," Nat Rev Mol Cell Biol 2:877-886 (2001)		

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	C13	Bartsevich et al., "REGULATION OF THE MDR1 GENE BY TRANSCRIPTIONAL REPRESSORS SELECTED USING PEPTIDE COMBINATORIAL LIBRARIES," Mol Pharmacol 58:1-10 (2000)		
	C14	Batzer et al., "ENHANCED EVOLUTIONARY PCR USING OLIGONUCLEOTIDES WITH INOSINE AT THE 3'-TERMINUS," Nucleic Acid Res. 19:5081 (1991)		
	C15	Beerli et al., "POSITIVE AND NEGATIVE REGULATION OF ENDOGENOUS GENES BY DESIGNED TRANSCRIPTION FACTORS," PNAS 97: 1495-1500 (2000)		
	C16	Behr et al., "GENE TRANSFER WITH SYNTHETIC CATIONIC AMPHIPHILES: PROSPECTS FOR GENE THERAPY," Bioconjug. Chem. 5(5):382-389 (1994)		
	C17	Berg et al., "THE GALVANIZATION OF BIOLOGY: A GROWING APPRECIATION FOR THE ROLES OF ZINC," Science 271: 1081-1085 (1996)		
	C18	Beug et al., "AVIAN ERYTHROPOIESIS AND ERYTHROLEUKEMIA: TOWARDS UNDERSTANDING THE ROLE OF THE BIOMOLECULES INVOLVED," Biochim. Biophys. Acta 1288(3):M35-47 (1996)		
	C19	Bird et al., "METHYLATION-INDUCED REPRESSION--BELTS, BRACES, AND CHROMATIN," Cell 99(5):451-454 (1999)		
	C20	Bitko & Barik, "PERSISTENT ACTIVATION OF RELA BY RESPIRATORY SYNCYTIAL VIRUS INVOLVES PROTEIN KINASE C, UNDERPHOSPHORYLATED IKAPPA BETA, AND SEQUESTRATION OF PROTEIN PHOSPHATASE 2A BY THE VIRAL PHOSPHOPROTEIN," J. Virol. 72(7):5610-5618 (1998)		
	C21	Blaese et al., "VECTORS IN CANCER THERAPY: HOW WILL THEY DELIVER?" Cancer Gene Therapy 2:291-297 (1995)		
	C22	Blaese et al., "T LYMPHOCYTE-DIRECTED GENE THERAPY FOR ADA- SCID: INITIAL TRIAL RESULTS AFTER 4 YEARS," Science 270(5235):475-480 (1995)		
	C23	Boulikas, "PHOSPHORYLATION OF TRANSCRIPTION FACTORS AND CONTROL OF THE CELL CYCLE," Crit Rev Eukaryot. Gene Expr. 5(1):1-77 (1995)		
	C24	Buchschacher et al., "HUMAN IMMUNODEFICIENCY VIRUS VECTORS FOR INDUCIBLE EXPRESSION OF FOREIGN GENES," J Virol 66(5):2731-2739 (1992)		

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	C25	Burley et al., "THE TATA BINDING PROTEIN," Curr. Opin. Struct. Biol. 6:69-75 (1996)		
	C26	Capecchi et al., "ALTERING THE GENOME BY HOMOLOGOUS RECOMBINATION," Science 244:1288-1292 (1989)		
	C27	Carbonetti et al., "USE OF PERTUSSIS TOXIN VACCINE MOLECULE PT9K/129G TO DELIVER PEPTIDE EPITOPES FOR SIMULATION OF A CYTOTOXIC T LYMPHOCYTE RESPONSE," Abstr. Annu. Meet. Am. Soc. Microbiol. 95:295 (1995)		
	C28	Carreira et al., "BRACHYURY-RELATED TRANSCRIPTION FACTOR TBX2 AND REPRESSION OF THE MELANOCYTE-SPECIFIC TRP-1 PROMOTER," Mol. Cell. Biol. 18(9):5099-5108 (1998)		
	C29	Chehab et al., "CHK2/HCD1 FUNCTIONS AS A DNA DAMAGE CHECKPOINT IN G1 BY STABILIZING P53," Genes Dev 14:278-288 (2000)		
	C30	Cheng, "DNA MODIFICATION BY METHYLTRANSFERASES," Curr. Opin. Struct. Biol. 5(1):4-10 (1995)		
	C31	Chern et al., "THE REGULATOR OF MAT2 (ROM2) PROTEIN BINDS TO EARLY MATURATION PROMOTERS AND REPRESSES PVALF-ACTIVATED TRANSCRIPTION," Plant Cell 8(2):305-321 (1996)		
	C32	Cho et al., "ANALYSIS OF THE C-TERMINAL REGION OF ARABIDOPSIS THALIANA APETALA1 AS A TRANSCRIPTION ACTIVATION DOMAIN," Plant Mol. Biol. 40(3):419-429 (1999)		
	C33	Cho et al., "ANTISENSE DNAs AS MULTISITE GENOMIC MODULATORS IDENTIFIED BY DNA MICROARRAY," PNAS USA 98:9819-9823 (2001)		
	C34	Choo et al., "TOWARD A CODE FOR THE INTERACTIONS OF ZINC FINGERS WITH DNA: SELECTION OF RANDOMIZED FINGERS DISPLAYED ON PHAGE," PNAS 91: 11163-11167 (1994)		
	C35	Choo et al., "SELECTION OF DNA BINDING SITES FOR ZINC FINGERS USING RANDOMIZED DNAs REVEALS CODED INTERACTIONS," PNAS 91: 11168-11172 (1994)		
	C36	Ciana et al., "LEUKEMIC TRANSFORMATION BY THE V-ERBA ONCOPROTEIN ENTAILS CONSTITUTIVE BINDING TO AND REPRESSION OF AN ERYTHROID ENHANCER IN VIVO," EMBO J. 17(24):7382-7394 (1998)		

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	C37	Clarke-Curtiss & Curtiss, "ANALYSIS OF RECOMBINANT DNA USING ESCHERICHIA COLI MINICELLS," Methods in Enzymology 101:347-362 (1983)		
	C38	Colley et al., "CONVERSION OF A GOLGI APPARATUS SIALYLTRANSFERASE TO A SECRETORY PROTEIN BY REPLACEMENT OF THE NH2-TERMINAL SIGNAL ANCHOR WITH A SIGNAL PEPTIDE," J. Biol. Chem. 264(30):17619-17622 (1989)		
	C39	Collingwood et al., "NUCLEAR RECEPTORS: COACTIVATORS, COREPRESSORS AND CHROMATIN REMODELING IN THE CONTROL OF TRANSCRIPTION," J. Mol. Endocrinol. 23(3):255-275 (1999)		
	C40	Cook et al., "THREE CONSERVED TRANSCRIPTIONAL REPRESSOR DOMAINS ARE A DEFINING FEATURE OF THE TIEG SUBFAMILY OF SP1-LIKE ZINC FINGER PROTEINS," J. Biol. Chem. 274(41):29500-29504 (1999)		
	C41	Crepieux et al., "THE ETS FAMILY OF PROTEINS: WEAK MODULATORS OF GENE EXPRESSION IN QUEST FOR TRANSCRIPTIONAL PARTNERS," Crit. Rev. Oncog. 5(6):615-638 (1994)		
	C42	Crystal, "TRANSFER OF GENES TO HUMANS: EARLY LESSONS AND OBSTACLES TO SUCCESS," Science 270(5235):404-410 (1995)		
	C43	Cultraro, et al., "FUNCTION OF THE C-MYC ANTAGONIST MAD1 DURING A MOLECULAR SWITCH FROM PROLIFERATION TO DIFFERENTIATION," Mol Cell. Biol. 17(5):2353-2359 (1997)		
	C44	Damm et al., "PROTEIN ENCODED BY V-ERBA FUNCTIONS AS A THYROID-HORMONE RECEPTOR ANTAGONIST," Nature 339:593-597 (1989)		
	C45	Deamer & Bangham, "LARGE VOLUME LIPOSOMES BY AN ETHER VAPORIZATION METHOD," Biochim. Biophys. Acta 443(3):629-634 (1976)		
	C46	Desjarlais et al., "TOWARD RULES RELATING ZINC FINGER PROTEIN SEQUENCES AND DNA BINDING SITE PREFERENCES," PNAS USA 89:7345-7349 (1992)		
	C47	Desjarlais et al., "USE OF A ZINC-FINGER CONSENSUS SEQUENCES FRAMEWORK AND SPECIFICITY RULES TO DESIGN SPECIFIC DNA BINDING PROTEINS" PNAS 90: 2256-2260 (1993)		
	C48	Desjarlais et al., "LENGTH-ENCODED MULTIPLEX BINDING SITE DETERMINATION: APPLICATION TO ZINC FINGER PROTEINS," PNAS 91: 11099-11103 (1994)		

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	C61	Fahraeus et al., "INHIBITION OF PRB PHOSPHORYLATION AND CELL-CYCLE PROGRESSION BY A 20-RESIDUE PEPTIDE DERIVED FROM P16CDKN2/INK4A," Current Biology 6:84 (1996)		
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				First Named Inventor	MOORE et al.
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				Examiner Name	
Sheet	22	of	25	Attorney Docket Number	8325-0038 (S38-US1)

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	C241	Wang et al., "POSITIVE AND NEGATIVE REGULATION OF GENE EXPRESSION IN EUKARYOTIC CELLS WITH AN INDUCIBLE TRANSCRIPTIONAL REGULATOR," Gene Ther. 4:432-441 (1997)	
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